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SECTION B - ARS OCCUPATIONAL HEALTH MANAGEMENT FUNCTION

CHAPTER II - ARS EMPLOYEE ASSISTANCE PROGRAM

CHAPTER II

ARS EMPLOYEE ASSISTANCE PROGRAM

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CHAPTER II - SECTION B

ARS EMPLOYEE ASSISTANCE PROGRAM (EAP)

A PURPOSE AND SCOPE OF THE PROGRAM

The purpose of the Employee Assistance Program (EAP) is to offer assistance to employees who have personal problems that interfere with efficient and safe performance of their assigned duties; motivate employees to accept rehabilitation and treatment so that they may regain their productive capabilities; minimize absenteeism, sick leave, and grievances; reduce the need for disciplinary action; and improve morale.

The range of problems covered by these guidelines include any personal or job related problems having an impact on the employee's ability to perform his/her job. It is the responsibility of ARS to make available to every employee at every grade level services for prevention, treatment, and rehabilitation which will provide help in dealing with personal problems.

Problems concerning equal employment opportunity, upward mobility, and grievances are not covered under this program; however, these programs should be closely coordinated with employee assistance programs since personal problems of any type tend to overlap and impact on one another.

B APPLICABILITY

The contents of this chapter are applicable to all missions under the direction of the ARS Administrator whether accomplished by ARS personnel, cooperators, or contractors within ARS. Exceptions to the provisions of this Manual require Office of the Deputy Administrator, Administrative Management approval. Waivers must be documented and copies furnished to the next higher management level. In all instances, however, protection consistent with the intent of the pertinent provision will be provided.

C SUMMARY

This chapter specifies policy and assigns responsibility under the ARS Employee Assistance Program.

D DEFINITIONS

For the purposes of this chapter, those terms pertaining to its use or understanding are defined as follows:

D DEFINITIONS (Continued)

1 Employee Assistance. Efforts intended to assist both employer and employee with any employee's personal problems which interfere with work performance. Employee problems may be in such areas as, substance abuse, emotional behavior, legal, financial, marital or family difficulties. Employee

assistant programs are designed to identify employees in need of assistance, provide short-term counseling, or refer them to the appropriate treatment sources, and provide support services during and after treatment period.

2 Alcoholism. A treatable illness characterized by a dependency on alcohol which interferes with the individual's health, interpersonal relationships, social standing, or economic functioning (job

performance).

3 Alcohol Abuse. The use of alcohol by an individual to the extent which causes problems in any life aspect; e.g., family, friends, work, or oneself.

4 Drug Abuse. A treatable health problem characterized by the use of a drug (other than alcohol) which interferes with an individual's health, interpersonal relationships, social standing, or economic functioning (job performance).

5 Emotional/Behavioral Programs. A wide range of problems that may adversely affect an individual's job performance including alcohol or other drug abuse, mental or emotional illness, financial, marital or family distress, physical illness, compulsive gambling, or legal problems.

6 Job Performance. Covers the area of an employee's work responsibility including attendance, conduct, reliability, and the performance of assigned duties.

7 EAP Clients. Employees participating in EAP counseling and referral services.

8 Drugs. Substances legal or illegal which by their chemical nature alter the structure or function of the body or the mind.

9 Rehabilitated Employee. A person who has successfully abstained from alcohol, drugs, and is free of emotional health problems, and his/her performance is considered acceptable.

D DEFINITIONS (Continued)

10 Sensitive Positions. Those positions which are designed as "critical sensitive" in FPM Chapter 792.

11 Troubled Employee. An employee whose work performance or behavior is frequently or increasingly affected adversely because of what appears to be personal problems; e.g., alcoholism, drug abuse, or other physical/personal/emotional problems.

E FORM

OPM-1210, Federal Employee Alcoholism and Drug Abuse Programs.

F AUTHORITIES

The Employee Assistance Program for ARS has been designed in accordance with authorities and instructions cited in Public Law 79-658, 91-616, 92-255, 93-282, 93-519; the Privacy Act of 1974; the Federal Employee Manual 792-5 and supplement 792-2.

The Employee Assistance Program (EAP) as outlined in this chapter meets the requirements of the above-referenced laws and regulations by providing assistance to employees with any personal problem which may affect job performance. These problems may include, but are not limited to, alcohol or other drug abuse, family, marital, compulsive gambling, emotional illnesses, legal problems, and job related problems.

G ABBREVIATIONS

CFR - Code of Federal Regulations

EAP - Employee Assistance Program

EAPC - Employee Assistance Program Coordinator

EAPS - Employee Assistance Program Services

FD - Facilities Division

FPM - Federal Personnel Manual

OPM - Office of Personnel Management

H POLICY

As an employer, ARS recognizes that declining job performance and behavior problems may be caused by many factors not directly associated with an employee's job function. It is unrealistic to expect employees to leave their personal problems at the door of the worksite each morning to be picked up again on their way out that evening. These problems do come through the door with the employee and, at times, can affect the

H POLICY (Continued)

employee's work performance and behavior. Help is available from a multitude of community agencies and facilities.

Accordingly, ARS:

1 Recognizes that alcoholism, drug abuse, and emotional difficulties are treatable illnesses. Employees suffering from these problems receive the same careful consideration and other means of assistance that are extended to employees having other illnesses.

2 Encourages employees to contact the EAP for confidential assistance if they suspect that they have a

problem for which assistance is needed.

3 Assures employees that all aspects of the EAP are conducted in a manner which will guarantee the same respect and degree of confidentiality accorded employees suffering from any health condition.

4 Emphasizes that the decision to seek evaluation of problems and accept suggested treatment is the employee's responsibility.

5 Requires supervisors to grant available annual or sick leave for the purpose of participating in an approved program of treatment or rehabilitation as for any other illness. It is the employee's responsibility to make arrangements to pay for his/her counseling or medical treatment provided by referral resources within the community. Evaluation interviews, referral services and follow up are provided free of charge by the ARS EAP to employees.

Implementation of this policy will not require or result in any special regulations, privileges, or exemptions from the standard administrative policies applicable to job performance requirements. Performance problems will be handled according to established administrative procedures. Nothing in this program prohibits formal disciplinary or adverse action, including removal from employment where performance is deficient. However, employees will be provided the opportunity to:

1 Participate in EAP treatment and rehabilitation programs.

2 Demonstrate reasonable progress toward improving their job performance.

H POLICY (Continued)

This opportunity must be provided before formal discipline or adverse action or action to remove or demote based on unacceptable performance is taken (except where criminal activity is involved--5 CFR 752.404 (d) or the employee has abandoned his or her position and cannot be located to make an offer of assistance).

The EAP is not intended to replace existing policies that have been established within Federal service. EAP personnel cannot:

1 Provide career counseling and advice on obtaining other positions within Federal service.

2 Arbitrate arguments between employees and supervisors.

3 Assist in complaining about work conditions.

4 Resolve disagreements between employees.

5 Advise if the employee can be assigned, reassigned, or transferred to certain positions or duties.

6 Determine if the employee was discriminated against by not being selected or considered for promotion or vacancies.

7 Respond to charges that the employee is being harassed, treated unfairly, or with prejudice.

8 Defend or represent the employee in formal proceedings.

There are established ways an employee can register a complaint. Agency officials, labor representatives, or the Office of Personnel Management can advise employees on available procedures for a particular complaint. EAP personnel welcome problems from employees that are of a personal nature but are not equipped to resolve personnel complaints.

I RESPONSIBILITIES

1 Area Directors will:

a Develop and implement the Area EAP in concert with the ARS Program and assume overall operational responsibility in the Area.

b Designate an Area and Location EAPC.

I RESPONSIBILITIES (Continued)

c Provide Area/Location EAPC's and any other personnel assigned collateral-duty EAP responsibilities, sufficient time, training, and office space to conduct their EAP duties.

d Provide EAPC's which are capable of addressing a wide range of employee problems including alcoholism, drug abuse, and emotional/behavioral problems.

e Provide advice, guidance, and assistance to the Area/Location EAPC on administrative, policy, and procedural matters.

f Coordinate the medical, disciplinary, administrative, personnel, and security aspects of the Area/Location EAP.

g Ensure that adequate EAP training is provided.

h Submit the EAP annual report on OPM Form 1210 to ARS FD by December 1 of each year.

2 Facilities Division will:

a Develop policies for the implementation of the ARS EAP.

b Provide EAP guidance and assistance to Area/Location EAPC's and EAPS as required.

c Develop training for managers, supervisors, Area/Location EAPC's, and EAPS detailing program responsibilities.

3 Area EAPC's will:

- a Establish EAP counseling service, identifying Location EAC's.
- b Provide advice, guidance, and assistance to Location EAC's on policy and procedural matters.
- c Identify, establish, and maintain liaison with regional or local educational, treatment, and rehabilitation facilities.
- d Provide orientation and training program for managers and supervisors.
- e Provide program information to Area employees including:

I RESPONSIBILITIES (Continued)

- (1) Policy and procedures for participation in the EAP.

(2) Name and location of the Area/Location EAPC and local EAPS and post information at each location.

f Encourage voluntary employee participation in EAP.

g Provide confidential client record keeping system as required by the FD EAPC.

4 Location EAPC's will:

a Establish EAP counseling service for the Location.

b Provide advice, guidance, and assistance to Location personnel on policy and procedural matters.

c Identify, establish, and maintain liaison with regional or local educational, treatment, and rehabilitation facilities.

d Provide orientation and training programs for supervisors and managers.

e Provide program information to Location employees including:

(1) Policy and procedures for participation in the EAP.

(2) Name and location of the Area/Location EAPC and local EAPS and post information at each location.

f Encourage voluntary employee participation in EAP.

g Provide confidential client record keeping system as required by the Area EAPC.

5 EAP's will:

a Conduct individual evaluation and referral counseling sessions with employees addressing a wide range of employee problems (i.e., alcoholism, drug abuse, and emotional/behavioral problems).

I RESPONSIBILITIES (Continued)

b Identify, establish, and maintain liaison with local treatment and rehabilitation facilities and make recommendations to clients.

c Monitor progress of clients participating in treatment and rehabilitation programs.

d Maintain confidential client records.

e Release client information only in compliance with Public Law 93-282 as amended 7/1/75.

f Provide assistance and guidance to managers and supervisors concerning:

(1) Employee problems involving alcoholism, drug abuse, and emotional/behavioral problems.

(2) Procedures to refer employees to the EAP.

g When directed by the EAPC, advise employees of available treatment and rehabilitation programs for family members' problems (if they are affecting employee's job performance).

6 Supervisors/Managers will:

a Identify employees for referral to the EAPS through the documentation of job performance difficulties or an indication of the inappropriate use of alcohol or other drugs in performance of assigned duties.

b Afford employees the opportunity to participate in EAP. Employees will be released from duty within a reasonable period of time following an initial request except in an emergency situation or where there would be undue interruption of work. In such cases, employees will be afforded the opportunity to participate at a more appropriate time.

c Grant leave, including advanced sick leave, according to applicable regulations, for the purpose of participating in rehabilitation programs recommended by EAP.

d Afford employees with alcoholism, drug abuse, or emotional/behavioral problems the same

considerations as extended for any other illness.

I RESPONSIBILITIES (Continued)

e Attend required training courses when provided.

7 ARS Employees are:

Encouraged to seek evaluation and accept treatment for any problem that negatively impacts job performance.

J RECORDS

1 EAP client records will be "confidential." Information identifiable with a particular employee will be released only with the client's written permission in compliance with Public Law 93-282, as amended 7/1/75.

2 EAP client records will be maintained as a separate System of Records as published in the Federal

Register. EAP client records are to be maintained separately from Official Personnel Folder and medical Records.

3 Official Personnel Folder will not reflect:

a An employee's alcoholism, drug abuse, or emotional/behavioral problem except where related to specific work-related charges leading to disciplinary action.

b An employee's participation in the EAP, a treatment, or a rehabilitation program.

K RESERVED

L EXHIBITS

1 The Employee Assistance Process

2 Patterns of Job Performance Deterioration

3 Specific Procedures for Case Handling

4 Documentation Requirements

5 Constructive Confrontation

6 The Supervisor's Need for Information

7 Form OPM-1210

EXHIBIT 1

I THE EMPLOYEE ASSISTANCE PROCESS.

A An employee enters to the program through either a supervisory referral or by self-referral. The following four steps outline the services provided:

1 Intake - The first step is to gather preliminary information (see documentation section). By definition a supervisory referral involves a formalized procedure. The employee is offered the opportunity to eliminate job difficulties by resolving any personal problems which are interfering with job performance.

The supervisor then discusses the deficiencies of the employee's job performance and offers the EAP as a place to seek help. The supervisor should then accompany the employee to the office, telephone the counselor, or send a short memo to the counselor naming the employee who is being referred to the program. The counselor will attempt to elicit job related details of the situation. A consent form will be solicited from the client whenever the counselor is aware that disciplinary action is being contemplated.

At the initial stage of the supervisory referral the roles of the supervisor and the counselor must be clarified. It must be determined if the supervisor will be actively involved and whether a joint meeting (client, counselor, supervisor) is necessary. It is important to note here that no feedback is provided to the supervisor without the written consent of the employee.

In case of a self-referral, the supervisor is not entitled to any information from the counselor and the agency is not involved except at the client's request. In either case, the employee must participate voluntarily if he or she is to benefit from the program even though the supervisor may provide a strong motivation.

2 Evaluation - At this stage the case worker has one to five sessions with the client, assessing the

client's problem. If there are job-related issues to be resolved, it may be necessary to involve the supervisor and an employee representative to avoid any misunderstanding or misinterpretation. It must be reemphasized, however, that strict confidentiality is maintained in all cases, and contacts by the counselor must be consented to in writing by the client. The counselor, after completing a thorough assessment will then share observations with the client and suggest a method for remedying the situation. This leads to the third phase of the "helping process."

EXHIBIT 1 (Continued)

3 Therapy/Referral - When the caseworker arrives at a diagnosis, a treatment plan is designed to help the employee overcome the personal problems and return to a satisfactory level of productivity. A plan is suggested and the counselor and the client will discuss the plan before attempting to carry it out. The plan will involve an agreement by the employee in which he/she establishes certain goals and works toward them in a stated time. The terms agreed upon may be written out, signed by the employee and reviewed during each subsequent therapy session. The contents of the agreement will not be divulged to anyone without the specific consent of the employee. If it is determined that the employee's problems can be handled on a relatively short-term basis within the EAP, the employee will continue to be seen by the case worker until the present personal problem is controlled. If, however, the problem is too severe, requires medical or inpatient treatment or would require long-term intensive therapy, a referral is initiated by the counselor. The program maintains and constantly updates a resource file of therapists, mental health centers, hospitals, clinics, and other social service agencies which have demonstrated ability to provide high quality service. The coordinator will refer the employee to the appropriate resource and facilitate a smooth transition. In some cases, referral to an outside resource is made and therapy is also continued within the EAP. The counselor will act as a liaison between the supervisor and the party providing the primary treatment services in both cases. As a footnote to the referral process, the client's health insurance plan should be discussed with the counselor. Some policies cover mental health services. Others reimburse the client for a portion of the cost after a deductible is satisfied.

4 Monitoring - After completing the third phase, the counselor must establish a method of monitoring the employee's progress in the recommended treatment. This involves a revisit by the employee, feedback from the referral agency, if any, and the input of the supervisor. Since some exchange of

information is vital in the follow up stage, the counselor will strongly encourage the client to sign a release form to make this possible. A reasonable period of time (from 30 to 90 days) should be used to observe the employee's job performance. In any case, the supervisor, referral agency, and the counselor should remain in contact throughout the entire rehabilitation process, assuming the client has given such permission. In the case of an employee who is not cooperating with the treatment plan, or who has shown no

improvement in job performance, the supervisor must make the judgement based on job-related observations as to whether an alternate personnel action is necessary.

EXHIBIT 2

I PATTERNS OF JOB PERFORMANCE DETERIORATION.

A The key words in relation to the job performance problems noted below are continuing and repeated. A pattern of job performance deterioration should begin to appear. This requires documentation.

B Absenteeism. The patterns of absenteeism vary from person to person, whether the problem is alcoholism, marital, financial, etc. The following are some general patterns. Generally, any excess absenteeism and increases in absenteeism should be noted.

-- Unauthorized leave.

-- Excessive sick leave.

-- Monday absences, Friday absences, or Monday and Friday absences.

-- Repeated absences of 2-4 days.

-- Repeated absences of 1-2 weeks (5-10 days).

-- Excessive tardiness, especially on Monday morning or in returning from lunch.

-- Leaving work early.

-- Peculiar and increasingly improbable excuses for absences.

-- Higher absenteeism rate than other employees for colds, flu, gastritis, etc. (and consequently, more claims on health insurance).

- Frequent unscheduled short-term absences (with or without medical explanation).

C "On-the-Job" Absenteeism.

- Continued absences from post more than job requires.

- Frequent trips to water fountain or bathroom.

- Long coffee breaks.

D High Accident Rate. (and, consequently, more accident claims).

- Accidents on-the-job.

- Frequent trips to nurse's office.

EXHIBIT 2 (Continued)

-- Accidents off-the-job (but affecting job performance).

E Difficulty in Concentration.

-- Work requires great effort.

-- Jobs take more time.

-- There may be a hand tremor when concentrating.

F Confusion.

-- Difficulty in recalling instructions, details, etc.

-- Increasing difficulty in handling complex assignments.

-- Difficulty in recalling own mistakes.

G Spasmodic work patterns. Alternate periods of very high and very low productivity. Differential increases.

H Tenacity to job does change easily. This may present a threat because his control of present job allows him to hide low job performance.

I Coming to/returning to work in an obviously abnormal condition.

J Generally lowered job efficiency.

-- Misses deadlines.

-- Makes mistakes due to inattention or poor judgement.

-- Wastes more material.

-- Makes bad decisions.

-- Complaints from customers.

-- Improbable excuses for poor job performance.

K Employee relations on-the-job. Friction in employee relationships, including supervisor-employee relationships, usually results in decreased job performance and efficiency. The following indicates some sort of problem, possibly alcoholism.

-- Overreacts to real or imagined criticism.

-- Wide swings in morale.

EXHIBIT 2 (Continued)

-- Borrows money from co-workers.

-- Complaints from co-workers.

-- Unreasonable resentments.

-- Begins to avoid associates.

L These patterns apply to all employees in general. In specific relation to management personnel, however, there are other key indicators which are largely dependent on the level and type of management positions involved. On the first management level, a manager may begin to let safety standards slip, begin to issue conflicting instructions to employees, use employee time and skills inefficiently, submit incomplete reports and data, become lax in his/her supervisory duties, etc. On higher management levels, patterns of declining job performance are more subtle. Budgets may begin to be mismanaged, production schedules fail to be coordinated, people fail to receive proper service, and so on. The decision making aspect of higher management positions is crucial in this regard.

M All employees, including you, exhibit some of these job performance problems occasionally. It is a pattern of job performance problems over a period of time (several weeks or months) that you should note and document.

N In addition, the supervisor is not expected to be a diagnostician. Identification and referral is based strictly on deficient job performance.

O Time is important as a factor in establishing job performance standards, observing deteriorating job performance, and in the evaluation of improving job performance.

EXHIBIT 3

I SPECIFIC PROCEDURES FOR CASE HANDLING .

A Management-initiated referral.

1 Supervisors should:

-- Be alert, through continuing observation, to changes in the work or job behavior, or both, of assigned employees.

-- Document specific occasions when an employee's work performance, behavior, or attendance fails to

meet minimum standards or where the employee's pattern of performance appears to be deteriorating.

-- Consult with appropriate EAP staff for advice on how to proceed with an employee who is not responding to ordinary supervisory behavior. Supervisors must be able to describe behavior to the appropriate EAP staff, but should not attempt to disagree or draw conclusions.

-- Advise the Employee Relations staff of an employee's problem and the possibility of a referral to EAP based upon the EAP staff's recommendations.

-- Conduct interviews with the employee focusing on poor work performance and his/her responsibility to correct it, and inform the employee of available counseling and referral services if performance is caused by any personal or health problem.

-- Determine when to offer a firm choice between accepting assistance through the EAP or other professional sources, cooperation on recommended treatment, or accept the consequences for unacceptable performance or behavior that continues to be unacceptable.

2 EAP counselors should:

-- Interview management officials as requested and provide guidance in confronting employees with job performance or behavioral problems.

- Advise management officials regarding client confidentiality requirements.

EXHIBIT 3 (Continued)

- Interview the employee and, with the employee's knowledge and written consent, obtain the appropriate information including medical history, if necessary, to consider the nature of the employee's problem and recommended sources for referral.
- Determine the nature of the problem and, if necessary, make referrals to the health unit or local community resources as may be necessary for further evaluation, diagnosis, and/or rehabilitative assistance.
- After professional assessment of the case, advise the employee of appropriate, available community treatment resources, help make arrangements for utilizing them, and encourage the employee to participate in a rehabilitation program.

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3 If an employee drops out of a treatment program, documentation of the case file should show that this has taken place and no further action shall be taken.

EXHIBIT 3 (Continued)

4 Should a voluntary referral case be in progress and the employee's supervisor contacts the counseling staff or program with documentation of the employee's work performance deterioration or inappropriate behavior patterns at work, the Employee Counseling Services Program will confer with the supervisor but will adhere to the confidentiality requirements strictly; giving no indication of the employee's previous self-referral. The employee may then, if appropriate, be contacted and advised of the potential need to sign a consent to give information to the supervisor.

EXHIBIT 4

I DOCUMENTATION REQUIREMENTS

A The employee with an alcohol, drug, or other emotional/behavioral problem is usually very adept in

explaining unacceptable work performance. Proper documentation is essential if a confrontation becomes necessary. Without proper work records, the supervisor may be unable to present supportable evidence in communicating to the employee the serious nature of the problem.

B Frequently, in the administrative handling of a troubled employee, the employee denies that incidents have occurred or that discussions with the supervisor concerning work performance have taken place. Documentation of all discussions, encounters, or actions taken with the troubled employee is essential.

C Job performance may deteriorate at a gradually increasing rate over several months. Documentation should be passed on to the new supervisor should the employee be reassigned. Valuable help for the employee may be delayed if a new supervisor does not have accurately documented work records from the previous supervisor.

D Keep detailed, complete, dated, and signed records of employee behavior that affects work performance and attendance. For instance, it is of little or no value to record that an employee "reported for work this date suffering from a hangover." Many illnesses cause symptoms that, to the untrained observer, appear to be similar to those of a hangover. If you have not been professionally trained to diagnose these problems, do not try. It would be far more effective for you to record that--

The employee reported to work with bloodshot eyes, hand tremors, and smelling of alcohol. The employee appeared to have difficulty staying awake, placing his head on the desk several times during the morning. Although he spent the entire morning at the worksite, little or no productive work was accomplished.

E Document each discussion, warning, interview, or conference with the troubled employee. Also, include facts relating to your contacts with the Employee Assistance counselor or coordinator,

Employee Relations Specialist, and others.

F These records are crucial in assisting the troubled employee. They form the basis for an effective confrontation with the employee about deteriorating job performance and can also serve as the basis for formal disciplinary action should that be necessary.

EXHIBIT 4 (Continued)

G Any documentation of employee performance must be open and available for the employee to see and should contain positive as well as negative information on the employee's performance. There can be no secret files.

H Notifying the employee that you are formally documenting his/her performance can be very effective in alerting the employee to the seriousness of the situation.

I Sometimes supervisors avoid documentation out of fear that they may be accused of "spying" on the employee. It is important that the supervisor make no apologies; it is his/her responsibility to insure that employees are performing at an acceptable level.

J The supervisor's documentation is the first step toward getting the troubled employee the help

needed. Additional help can be obtained from the Employee Relations Office on how to correctly document performance.

K Some types of information which should be identified for the purpose of determining the extent of job deterioration of the employee:

1 Current name of employee.

2 Current job title.

3 Days absent (what days)

-- Total days absent

-- Sickness (type of illness)

-- Personal (reasons given for absence)

-- Day of the week (is a specific pattern developing)

4 Late for work pattern

-- Morning/long lunch (be specific)

-- Day of the week

5 On-the-job absenteeism.

6 Unexplained absences.

7 Calling in by telephone.

8 Pattern of leaving work area.

EXHIBIT 4 (Continued)

9 Sporadic Work Performance: A.M. sluggishness, afternoon spurts, quality/quantity of work (describe).

10 Accidents on the job (be specific).

11 Accidents off the job (but affecting work).

12 Coming to/returning to work in an obviously abnormal condition.

13 Complaints: coworkers/customers.

14 Documentable monetary losses.

EXHIBIT 5

I CONSTRUCTIVE CONFRONTATION.

A One of the most crucial aspects of this program is the supervisor's confrontation with an employee whose job performance is deficient. It is extremely important that the supervisor not make any attempt to diagnose the cause of the employee's job performance problem and that he not attempt to counsel the employee. An employee is very comfortable in the situation where the supervisor attempts to counsel. He can play upon the supervisor's sympathy and gain his support.

B The supervisor is not a counselor; this is not a part of his job. If the supervisor follows the established procedure for documenting performance deficiencies, the initial discussion with the employee will be based on objective performance data rather than vague references to the employee's unsatisfactory work.

C The goal of the discussion is motivation, not punishment. The supervisor must not avoid this confrontation when the employee's job performance indicates that such a confrontation is in order; dealing with performance problems is a part of the supervisor's job.

D Some procedures for constructive confrontation:

1 Preparation.

a Document all absenteeism, poor job performance, etc. (Specific criteria are necessary.) Have this documentation in hand during your discussion with the employee.

b Be aware of your own expectations. How much irresponsibility will you tolerate? What is acceptable or unacceptable to you?

c Be consistent. Don't tolerate more with one employee than you would with another.

d Don't be an "armchair diagnostician." Attempting to label the employee's problem is not your responsibility. Your concern is only with correcting deficient performance.

e Select a place and time for the discussion which affords privacy. No one enjoys criticism, however appropriate, but criticism in the presence of co-workers can cause more difficulties than it resolves.

EXHIBIT 5 (Continued)

2 The Discussion.

a It is usually wise to preface your discussion of performance deficiencies by pointing out to the employee that ARS recognizes his value (years with ARS, technical skills, past performances, previous level of competence and dependability, etc.)

b Be firm and honest. Don't hedge. Using your documentation outline, tell the employee exactly what it is that dissatisfies you with his/her performance.

c A good rule of thumb in this situation is to base the discussion on the person's job performance rather than the person. Remember, the goal is to restore the employee as a productive member of the unit.

d Don't let the employee play you against higher management and/or the union. If the employee is a member of a union, make sure a union representative is aware of the discussion.

e If the employee blames his/her poor performance on some off-the-job problem, avoid any personal involvement with this problem. Even if he appeals to you for advice, your only legitimate course of action is to refer him to professional help. (In fact, most professionals avoid giving "advice;" they are

skilled in helping the person arrive at his own solution.)

3 Follow-Through.

a Explain to the employee exactly what the standard disciplinary procedures are. This will help the employee understand exactly where he/she stands, and will communicate the seriousness with which you take this matter.

b Set up a plan for improvement. Get a commitment from the employee and document it. Set down specific work criteria which he/she agrees to work toward during a certain time period. Evaluate his/her performance periodically together.

E Take the responsibility to intervene. Don't be afraid to interfere or get involved. You have a legitimate right to interfere when an employee's overall job performance is below standard. It is highly probable that a troubled employee's performance will improve if confronted constructively and consistently. On the other hand, if he/she is ignored or warned in an inconsistent or arbitrary manner, it is highly unlikely that his/her performance will improve.

EXHIBIT 5 (Continued)

F Preserving the confidential nature of these records is essential to the overall success of the program. Since one of the goals of the program is to encourage employees who suspect they may be developing

personal problems such as alcoholism to refer themselves for treatment, it is necessary to create an atmosphere in which they feel free to initiate such a self-referral. It would be impossible to create such an atmosphere if it were not commonly understood that all records pertaining to this self-referral would be strictly confidential. Confidentiality is essential for the integrity of the program, as well as the well-being of the employee.

EXHIBIT 6

I THE SUPERVISOR'S NEED FOR INFORMATION.

A Because the confidentiality between the employee and the EAC must be maintained, specific details or a definition of the problem may never reach the supervisor. However, standard procedure in this situation is for the counselor to obtain a release to disclose certain information. Typically, the supervisor can expect answers to the following questions:

1 Did the employee keep his/her appointment?

2 Will additional sessions be needed?

3 Is the employee cooperating?

4 What are the prospects for improvement?

B The information provided by the counselor should give the supervisor a general idea of the kind of progress an employee may be making. The best indicator is always whether or not the employee's job performance improves. Often it does. If it doesn't, the decision to take disciplinary action should be discussed with the Employee Assistance Counselor.

C If the employee does not give the counselor written consent, the counselor will be unable to release any information about him/her. In that relatively rare event, the supervisor must proceed as if the employee had not tried to get help, basing any supervisory decisions solely on job performance. Sometimes the kindest thing to do is to pursue disciplinary action when it is appropriate. With some employees, this may be necessary before they fully understand the need to cooperate with the Employee Assistance Counselor or the community resource.

D An example of a "Consent for Release of Patient Information" form.

SUBJECT: Consent for Release of Client Information

FROM: (Patient's Name)

TO:

1 Name of the program making the disclosure:

2 Name or title of the person or organization to which disclosure is to be made:

3 Purpose or need for the Disclosure:

4 Extent or nature of information to be disclosed:

EXHIBIT 6 (Continued)

5 I understand that this consent is subject to revocation any time except to the extent that action has

http://imagepc/fd/shemb_tools/manual230_93ver/B_ARS Employee Assistance Program.

been taken in reliance thereon, and that it will expire without expressed revocation.

(date, event or condition)

(Signature of client)

(date on which consent is signed)

http://imagepc/fd/shemb_tools/manual230_93ver/B_ARS Employee Assistance Program.

EXHIBIT 7 (1)

FORM OPM-1210

Federal Employee Assistance Program

(Agency wide Totals)

Annual Report FY 19_

October 1, 19_- September 30, 19_

(Please Print or Type Your Submissions. Reproduce This Form Locally)

SECTION A - General Information

1. Name of Department or Agency
2. Address (Street Number, City, State and ZIP code)
3. Total No. of Civilian Employees 4. Name of Person Preparing 5. Tel. No. Employees as of 9/30/
This Report

SECTION B - Employee Assistance Program Management Information

1. Total Staff Years Expended in Program Management and Counseling Services
2. Types of Program(s) Covered by No. of No. of Employees Cost Per Capita

This Report Programs Cost

a. In-House Agency Program. . . .

b. Another Agency's Programs. . . .

c. Cooperative Programs

Consortium

d. In-House Private Contracts

3. Program Totals.

4. Program Personnel Administrators Counselors

a. Number of Full-Time.

b. Number of Part-Time.

c. Number with Collateral

Duties

EXHIBIT 7 (Continued)

SECTION C - Qualifications of Administrators and Counselors

Highest Academic Degree Obtained No. of PHD's No. of MA's No. of BS/BA Total

(do not count more than one degree)

1. Degrees in Counseling or

Related Fields

2. Degrees in Other Fields

TOTALS OF LINE 1 and 2

3. No. Certified in Alcohol

& Drug Abuse

4. Number with Experience in

Counseling

TOTALS OF LINE 3 and 4

5. Does your agency require specific experience and/or education for EAP administrators and counselors? Yes No If "YES," what are these qualifications?

6. Briefly, describe the training provided to administrators and counselors.

EXHIBIT 7 (Continued)

SECTION D - Counseling Information

Employee Categories Alcohol Other Drugs Emotional/Other

Total Number of New or Re-opened Cases_

a. Number of Self-Initiated

(Voluntary) Referrals_

b. Number of Management Initiated

(Involuntary Referrals)_

c. Number of Referrals as a Result

of Drug Testing_

d. Number Helped (Restoration of

Job Performance)_

e. Number Not Helped_

f. Number for Whom it is

"too-soon-to-tell"_

SECTION E - Supervisory and Managerial Training

1. List Course Titles Duration of Course No. of Attendees

(list in hours)

2. Total

EXHIBIT 7 (Continued)

SECTION F - Other

1. Were internal evaluations conducted in FY 19_of the EAP? Yes No

http://imagepc/fd/shemb_tools/manual230_93ver/B_ARSEmployeeAssistanceProgram.

If "YES," briefly describe the methodology and how the results were used.

2. List major ways the EAP was promoted (i.e., seminars, newsletters, fliers, posters, etc.)